

## LEGAL AND DEMOCRATIC SERVICES

### COMMITTEE DECISION SHEET

#### AUDIT, RISK AND SCRUTINY COMMITTEE - TUESDAY, 29 SEPTEMBER 2015

Please let the Committee Officer know as soon as possible if you do not agree with any action proposed in this decision sheet. These are decisions of the Committee and there is an expectation that action will be taken. If for any reason it is apparent that you will not be able to act on these instructions in full or in part or that there will be a delay, please let the Committee Officer know as it may be necessary to advise the Committee or seek further instructions from the Committee.

|     | Item Title  | Committee Decision  | Services Required to take action | Officer to Action    |
|-----|---|---|----------------------------------|----------------------|
| 1   | <u>Determination of Exempt Business</u>           | <b><u>The Committee resolved:</u></b><br>to note that there no exempt reports on the agenda and that item 7.3 would be taken in public with any detailed questions to be answered in private session.   |                                  |                      |
| 2.1 | <u>Minute of Previous Meeting of 25 June 2015</u> | <b><u>The Committee resolved:</u></b><br>(i) in relation to item 6, resolution (iv), (ALEO Governance Hub Minutes) to note that the next ALEO Governance Hub meetings were scheduled for 7 and 8 December with the minutes being presented to this Committee on 25 February 2016;<br>(ii) in relation to article 23 (Unaudited Annual Accounts 2014/15), to note that following the meeting with the Accounts Commission, it was agreed that an action plan was not required and that the Chief Executive would present an annual report; and<br>(iii) to otherwise approve the minute as a correct record. | Office of Chief Executive        | Angela Scott         |
| 2.2 | <u>Workplan</u>                                   | <b><u>The Committee resolved:</u></b><br>(i) in relation to a question from Councillor Cameron relating to delays in the ALEO's   | Internal Audit                   | D Hughes<br>C Harvey |

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|     |   | <p>audit, to note that this was delayed until after the next ALEO Governance Hub meetings had taken place to provide additional information to enable the audit work to be completed; and</p> <p>(ii) to otherwise note the content of the workplan.</p>  |                                  |                      |
| 2.3 | <b><u>Decision Tracking Statement</u></b>   | <p><b><u>The Committee resolved:</u></b></p> <p>(i) in relation to item 6 (Corporate Governance Risk Register), to note that discussions between COSLA and the Scottish Local Government Partnership (SLGP) had concluded and that the SLGP would be represented;</p> <p>(ii) to delete items 1 (Care First Budgetary Control and Forecasting), 2 (Aberdeen International Youth Festival) and 6 (Corporate Governance Risk Register); and</p> <p>(iii) to otherwise note the decision tracking sheet.</p>                       | Legal and Democratic             | K Rennie             |
| 3.1 | <b><u>Elected Member Development - Report by the Interim Director of Corporate Governance</u></b> | <p><b><u>The Committee resolved:</u></b></p> <p>to note the content of the report.</p>  |                                  |                      |
| 3.2 | <b><u>Internal Audit Progress and Performance - Report by Internal Audit</u></b>                  | <p><b><u>The Committee resolved:</u></b></p> <p>(i) in relation to a question from Councillor Cameron relating to the delays in the audits, to note that urgent audits had been carried over from the 2014/15 audit plan for Aberdeenshire Council which had delayed the progress with the reporting dates for the Aberdeen City audits;</p> <p>(ii) in relation to a question from Councillor Townson relating to ALEO's, to note that specific questions on an individual ALEO would be discussed in private session; and</p> | Internal Audit                   | D Hughes<br>C Harvey |

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|     |   | (iii) to otherwise note the content of the report.  |                                  |                      |
| 3.3 | <b><u>External Audit Progress and Performance - Report by External Audit</u></b>                                    | <b><u>The Committee resolved:</u></b><br>to note the content of the report.   | External Audit                   | A Macdonald          |
| 3.4 | <b><u>Data Protection Reporting April to June 2015 - Report by the Interim Director of Corporate Governance</u></b> | <b><u>The Committee resolved:</u></b><br>(i) in relation to a question from Councillor Cameron regarding the number of data protection breaches or near misses within the Aberdeen City Health and Social Care Partnership, to note that the Head of Legal and Democratic Services would look at those incidents in more depth to determine if there was a specific reason for concern;<br>(ii) to note that the information contained in the second paragraph on page 56 of the report was inaccurate and that the figures contained in the table were correct;<br>(iii) in relation to a question from Councillor Flynn regarding the percentage (91%) of requests responded to within 40 days, to note that there wasn't currently a process in place for Subject Access Requests and that this would be looked into; and<br>(iv) to otherwise note the content of the report. | Legal and Democratic             | F Bell<br>F Smith    |
| 4.1 | <b><u>Health and Social Care Integration - Report by the Internal Auditor</u></b>                                   | <b><u>The Committee resolved:</u></b><br>(i) to note the Scottish Government's guidance for integration financial assurance and the requirement this places on Audit Committees within each of the partner bodies, and subsequently on Integration Joint Boards (IJBs) when established;<br>(ii) to note the ongoing work between NHS Grampian, Aberdeen City, Aberdeenshire and Moray Councils and the Shadow IJBs to develop working arrangements, consistency of approach through each   | Internal Audit                   | D Hughes<br>C Harvey |

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|     |   | <p>organisation's 2015/16 Internal Audit Plan, and the establishment of a local audit network;</p> <p>(iii) to approve the adjustment to the 2015/16 Internal Audit Plan to include the review of Health and Social Care integration, as outlined in Appendix 2, in the third quarter of 2015/16; and</p> <p>(iv) to approve the sharing of future internal audit reports related to Health and Social Care Integration with NHS Grampian and local authority partners and the IJBs, on a reciprocal basis.</p> |                                    |                      |
| 4.2 | <b><u>Shadow Joint Integration Board Risk Register - Report by Chief Officer - Health and Social Care</u></b> | <p><b>The Committee resolved:</b></p> <p>(i) to note that the majority of the risks identified as Amber would be mitigated when the Joint Integration Board was established; and</p> <p>(ii) to otherwise note the content of the Risk Register.</p>  | Social Health and Care Integration | J Proctor<br>T Cowan |
| 4.3 | <b><u>Council Tax Billing 2014/15 - Report by Internal Auditor</u></b>  | <p><b>The Committee resolved:</b></p> <p>(i) in relation to questions from Councillors Cameron and Young regarding why the exemption (paragraph 2.1.4) was not reported to Finance, Policy and Resources at the time, to note that the Head of Legal and Democratic Services would liaise with the Head of Procurement and issue the response to the Committee; and</p> <p>(ii) to otherwise note the content of the report and endorse the recommendations for improvement.</p>                                | Legal and Democratic Procurement   | F Bell<br>C Innes    |
| 5.1 | <b><u>Housing - Rent Assessment - Report by Internal Auditor</u></b>  | <p><b>The Committee resolved:</b></p> <p>(i) to note the information provided in relation to the number of HRA properties affected by the Haudagain Roundabout</p>  | Internal Audit                     | D Hughes<br>C Harvey |

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|     |   | development and to request that the number be clarified and the report amended as appropriate and re-issued to the Service and the Committee; and<br>(ii) to otherwise note the content of the report and endorse the recommendations for improvement.  |                                    |                                 |
| 6.1 | <b><u>Public Reporting Performance - Audit Scotland's Assessment - Report by the Chief Executive</u></b>                                  | <b><u>The Committee resolved:</u></b><br>(i) to note that the Head of Communications and Promotion would prepare an action plan and report back to the Committee within six months; and<br>(ii) to otherwise note the content of the report.  | Communications and Promotion       | T Suliman                       |
| 6.2 | <b><u>Deduction of PAYE from Office Holders - Report by the Interim Director of Corporate Governance</u></b>                              | <b><u>The Committee resolved:</u></b><br>to note the content of the report.   | Legal and Democratic               | F Selbie                        |
| 7.1 | <b><u>Internal Audit Recommendations Outstanding pre 15/16 - Report by Internal Auditor</u></b>   | <b><u>The Committee resolved:</u></b><br>(i) in relation to item 1 (Community Centres), to note the information provided regarding the number of Community Centres that had completed the required form relating to PVG checks;<br>(ii) to request for future reports, that if a revised date was further revised that both dates are included in the report with an explanation for the further delay; and<br>(iii) to otherwise note the content of the report. | Communities and Housing<br><br>All | G Woodcock<br><br>All Directors |
| 7.2 | <b><u>Internal Audit Recommendations 2015/16 - Report by Internal Auditor</u></b>   | <b><u>The Committee resolved:</u></b><br>to note the content of the report.   |                                    |                                 |
| 7.3 | <b><u>Aberdeen International Youth Festival - Following the Public Pound - Report by the Interim Director of Corporate Governance</u></b> | <b><u>The Committee resolved:</u></b><br>to note the content of the report.   |                                    |                                 |
| 8.1 | <b><u>Annual Report to Members and the Controller of Audit on the 2014/15 Audit - Report by External Audit</u></b>                        | <b><u>The Committee resolved:</u></b><br>(i) to request the Head of Finance to circulate the management response for item 6/155   | Finance                            | S Whyte                         |

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|      |  | <p>(Marischal Square Development) that had been issued to External Auditor outwith the timescales for issuing the report;</p> <p>(ii) to congratulate staff for the improved performance relating to the completion of pothole repairs;</p> <p>(iii) to concur with the thanks given to the External Auditor for the easy to follow report style;</p> <p>(iv) to note the content of the report;</p> <p>(v) to agree the action plan and recommendations for improvement; and</p> <p>(vi) to request that an External Audit, outstanding recommendations report be presented to this Committee until all of the actions and recommendations had been completed.</p> | External Audit                   | A Macdonald       |
| 8.2  | <b><u>Annual Audited Accounts 2014/15 - Report by the Interim Director of Corporate Governance</u></b>                 | <p><b><u>The Committee resolved:</u></b></p> <p>(i) to concur with the remarks from the Head of Finance, thanking everyone involved in the accounts process;</p> <p>(ii) to approve the Council's audited Annual Accounts for signature by the Head of Finance, Chief Executive and Council Leader; and</p> <p>(iii) to approve the audited Annual Accounts for those registered charities where the Council is the sole trustee, for signature by a trustee.</p>   | Finance                          | S Whyte           |
| 9.1  | <b><u>Audit Scotland Value for Money National Reviews - Report by the Interim Director of Corporate Governance</u></b> | <p><b><u>The Committee resolved:</u></b></p> <p>(i) to note the detail of the report, Scotland's Public Sector Workforce – Impact Report; and</p> <p>(ii) to otherwise note the content of the report.</p>  | IT and Transformation            | M Murchie         |
| 10.1 | <b><u>Matters Under Investigation</u></b>  | <p><b><u>The Committee resolved:</u></b></p> <p>in relation to item (3.2), to note the additional information provided in relation to an ALEO and</p>   | IT and Transformation            | M Murchie         |

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|  |            | to request that the issue be clarified and a response provided to Councillor Townson. |                                  |                   |

If you require any further information about this decision sheet, please contact Karen Rennie, tel 01224 522723 or email [karrennie@aberdeencity.gov.uk](mailto:karrennie@aberdeencity.gov.uk)